

ANGUILLA FINANCIAL SERVICES COMMISSION
Externally and Non-Regulated Service Providers Regulations, R.R.A. P98-6
(Sections 2 and 3)

Application for Registration of Non-Regulated Service Providers

1. Name of non-regulated service provider¹.
2. Country of incorporation/establishment.
3. Date of incorporation/establishment².
4. Registered office (if applicable).
5. Principal business address in Anguilla.
6. Mailing address in Anguilla.
7. Contact person and contact details.

Name

Telephone

Fax

Email
8. Legal name under which the non-regulated service provider will operate and any trading name.
9. Are there offices located outside of Anguilla?
If yes, please list each office and the jurisdiction below.

¹A non-regulated service provider is a person specified in Schedule 2 of the AML/CFT Regulations, R.R.A. P98-1 and who does not hold a regulatory licence.

² Provide copy of the Articles and Certificate of Incorporation.

10. Tick all relevant boxes to describe the type of service carried out or to be carried out –

a. Provides accountancy or audit services.	<input type="checkbox"/>
b. Acts as a real estate agent, when the person is involved in transactions concerning the buying and selling of real estate.	<input type="checkbox"/>
<p>c. Acts as an ‘independent legal professional’ (which means a firm or sole practitioner who, by way of business, provides legal or notarial services to other persons, when preparing for or carrying out transactions for a customer in relation to —</p> <ul style="list-style-type: none"> i. the buying and selling of real estate and business entities; ii. the managing of client money, securities or other assets; iii. the opening or management of bank, savings or securities accounts; iv. the organisation of contributions necessary for the creation, operation or management of companies; or v. the creation, operation or management of trusts, foundations, companies or similar structures, excluding any activity that requires a licence under the Trust Companies and Offshore Banking Act or the Company Management Act.) 	<input type="checkbox"/>
d. Acts as a ‘high value dealer’ (which means a person who, by way of business, trades in goods, including precious metals and precious stones, and receives, in respect of any transaction, a payment or payments in cash of at least EC \$35,000, or the equivalent in a currency other than Eastern Caribbean dollars, whether the transaction is executed in a single operation or in several linked operations.)	<input type="checkbox"/>
<p>e. Conducts as a business one or more of the following activities for, or on behalf of, a customer –</p> <ul style="list-style-type: none"> i. lending, including consumer credit, mortgage credit, factoring, with or without recourse, and financing of commercial transactions, including forfeiting, ii. financial leasing, iii. issuing and managing means of payment, including credit and debit cards, cheques, travellers’ cheques, money orders and bankers’ drafts and electronic money, iv. financial guarantees or commitments, v. participation in securities issues and the provision of financial services related to such issues, vi. providing advice on capital structure, industrial strategy and related questions and advice and services relating to mergers and the purchase of undertakings, vii. safekeeping and administration of cash, viii. investing administering or managing funds or money, ix. money broking; 	<input type="checkbox"/>

f. Trades for his own account or for the account of customers in – <ul style="list-style-type: none"> i. money market instruments, including cheques, bills, certificates of deposit and derivatives, ii. foreign exchange, iii. exchange, interest rate and index instruments, iv. financial futures and options, v. commodities futures, or vi. shares and other transferable securities; 	<input type="checkbox"/>
g. A licensed lottery	<input type="checkbox"/>

11. State the number of relevant employees³.

12. Details of the appointed money laundering reporting officer.

Name

Telephone

Fax

Email

13. Details of the appointed money laundering compliance officer.

Name

Telephone

Fax

Email

³Relevant employee means an individual, whether an employee or dependent contractor, who directly or indirectly, full time or part time, performs professional or administrative services for or on the behalf of the following:

- a. a business specified in schedule 2 of the AML/CFT Regulations;
- b. a business of an Independent Legal Professional; and
- c. a business of a High Value Dealer.

14. List the date of appointment of all directors and senior officers of the non-regulated service provider. (Details must include name, address, job title/role, date of birth, nationality, telephone, fax and email)⁴.

15. List all beneficial owners, partners and principals of the non-regulated service provider. (Details must include name, address, job title/role, date of birth, nationality and percentage interest) (if 10% or more, complete the Information in Support of Application form).

16. Do you hold any licence granted by the Financial Services Commission? (e.g. an attorney licenced under the Company Management Act, R.S.A. c. C75). Yes No
If yes, list licence.

17. (a) Have any of the directors/officers ever been convicted of any criminal offence (excluding minor traffic offences)? Yes No

(b) Have any of the directors/officers ever been arrested, detained, charged, indicted or summoned to answer for any criminal offence of which the result is still pending? Yes No

If you have answered yes to either (a) or (b) please give details (list all cases without exception).

⁴ Provide an organisational chart and audited financial statements (if available) OR unaudited financial statements for the last 2 years plus unaudited accounts for the period ending in the quarter most recently completed.

18. **REAL ESTATE AGENTS ONLY.** What is the predominant nature of the business?

- Commercial
Residential
Property
Other (describe)

19. **HIGH VALUE DEALERS ONLY.** How many individual cash payments for goods over EC \$35,000 do you expect to receive each year?

- 1 to 3
4 to 6
7 to 10
11 +

20. **HIGH VALUE DEALERS ONLY.** What type of goods do you deal in?

- Motor vehicles
Precious metals / stones
Other (describe)

21. **NON-BANKING BUSINESS.** Please specify nature of business.

22. **INVESTMENT BUSINESS.** Please specify nature of business.

23. Is the business regulated by a foreign regulatory authority? Yes No
If yes, name the regulator and provide a copy of licence or registration.

24. Please provide a copy of the Business Plan.

25. Application and declaration by person submitting this application.

This application to register as a non-regulated service provider is made under section 3 of the Externally and Non-Regulated Service Providers Regulations, R.R.A. P98-6 (“ENRSP Regulations”).

I declare that to the best of my knowledge and belief that all the information I have given in this application is correct.

I am aware that, under section 20 of the ENRSP Regulations, a person who, with intent to deceive or for any purpose of the Regulations –

- (a) provides any information, makes any representation or submits any document or return that is false or materially misleading; or
- (b) recklessly provides any information, makes any representations or submits any document or return that is false or materially misleading;

is guilty of an offence and is liable on summary conviction to imprisonment for a term not exceeding 1 year or to a fine not exceeding EC \$25,000 or to both.

I understand that it is a requirement under section 9(1) of the ENRSP Regulations that the Commission be notified of any changes to the information supplied in this application form.

The Commission may publish on its website the contact details provided in sections 1, 5, 6 and 7 (excluding contact name) of this application form.

Do you give your consent? Yes No

Name

Signature

Position

Date